

Substitute for form 1449A/PTO

1 of 9

Sheet

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Application Number	09/894,476
Filing Date	June 28, 2001
First Named Inventor	Andrew COMAS et al.
Art Unit	3692
Examiner Name	Clement B. GRAHAM
Attorney Docket Number	72167.000564

	U.S. PATENT DOCUMENTS						
*Examiner Initials	Cite No.	ll .	OCUMENT NUMBER er - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
	1.	US	2002/0004912	01-10-2002	Fung		
	2.	US	2002/0133593	09-19-2002	Johnson et al.		
	3.	US	2002/0133757	09-19-2002	Bertram et al.		
	4.	US	2002/0138571	09-26-2002	Trinon et al.		
	5.	US	2002/0143929	10-03-2002	Maltz et al.		
	6.	US	2002/0147961	10-10-2002	Charters et al.		
	7.	US	2002/0162090	10-31-2002	Parnell et al.		
·	8.	US	2002/0165754	11-07-2002	Tang et al.		
	9.	US	2003/0004848	01-02-2003	Hellerstein et al.		
	10.	US	2003/0018952	01-23-2003	Roetzheim		
	11.	US	2003/0033586	02-13-2003	Lawler		
	12.	US	2003/0041000	02-27-2003	Zajac et al.		
	13.	US	2003/0065644	04-03-2003	Horman et al.		
	14.	US	2003/0120539	06-26-2003	Korium et al.		
	15.	US	2003/0144868	07-31-2003	MacIntyre et al.		
	16.	US	2003/0188290	10-02-2003	Corral		
	17.	US	2003/0196190	10-16-2003	Ruffolo et al.		
	18.	US	2003/0212518	11-13-2003	D'Alessandro et al.		
	19.	US	2003/0225662	12-04-2003	Horan et al.		
	20.	US	2003/0225663	12-04-2003	Horan et al.		
	21.	US	2005/0071807	03-31-2005	Yanai		
	22.	US	4751702	06-14-1988	Beier et al.		
	23.	US	5027269	06-25-1991	Grant et al.		
	24.	US	5075881	12-24-1991	Blomberg et al.		

EXAMINER SIGNATURE

DATE CONSIDERED

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute	for form 1449A/PTO	Application Number	09/894,476
INIE	ORMATION DISCLOSURE	Filing Date	June 28, 2001
	TEMENT BY APPLICANT	First Named Inventor	Andrew COMAS et al.
SIA	(use as many sheets as necessary)	Art Unit	3692
	(use as many sneets as necessary)	Examiner Name	Clement B. GRAHAM
Sheet	2 of 9	Attorney Docket Number	72167.000564

		<u> </u>	J.S. PATENT DO	CUMENIS	
*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
	25.	US 5313616	05-17-1994	Cline et al.	
	26.	US 5347518	09-13-1994	Lee	
	27.	US 5386551	01-31-1995	Chikira,et al.	
	28.	US 5446895	08-29-1995	White et al.	
	29.	US 5539885	07-23-1996	Ono et al.	
	30.	US 5549117	08-27-1996	Tacklind, et al.	
	31.	US 5563998	10-08-1996	Yakish et al.	
-	32.	US 5566297	10-15-1996	Devarakonda	
	33.	US 5594863	01-14-1997	Stiles	
	34.	US 5630047	05-13-1997	Wang	
	35.	US 5630069	05-13-1997	Flores et al.	
	36.	US 5655074	08-05-1997	Rauscher	
	37.	US 5701471	12-23-1997	Subramanyam	
	38.	US 5712971	01-27-1998	Stanfill et al.	
	39.	US 5721913	02-24-1998	Ackroff et al.	
	40.	US 5721914	02-24-1998	De Vries	
	41.	US 5748878	05-05-1998	Rees et al.	
	42.	US 5752034	05-12-1998	Srivastava	
	43.	US 5758061	05-26-1998	Plum	
	44.	US 5768506	06-16-1998	Randell	
	45.	US 5781448	07-14-1998	Nakamura et al.	
	46.	US 5784562	07-21-1998	Diener	
	47.	US 5799297	08-25-1998	Goodridge et al.	
	48.	US 5806075	09-08-1998	Jain et al.	-
EXAMII	NER SIG	GNATURE		DATE CONSIDERED	•

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute	for form 1449A/PTO	Application Number	09/894,476
INIE	DRMATION DISCLOSURE	Filing Date	June 28, 2001
	TEMENT BY APPLICANT	First Named Inventor	Andrew COMAS et al.
	(use as many sheets as necessary)	Art Unit	3692
	(use as many sneets as necessary)	Examiner Name	Clement B. GRAHAM
Sheet	3 of 9	Attorney Docket Number	72167.000564

U.S. PATENT DOCUMENTS							
*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages o Relevant Figures Appear		
	49.	US 5828883	10-27-1998	Hall			
•	50.	US 5835770	11-10-1998	Shum et al.			
	51.	US 5842196	11-24-1998	Agarwal, et al.			
	52.	US 5845292	12-01-1998	Bohannon et al.			
	53.	US 5872976	02-16-1999	Yee et al.			
	54.	US 5884037	03-16-1999	Aras et al.			
	55.	US 5903721	05-11-1999	Sixtus			
	56.	US 5903897	05-11-1999	Carrier III et al.			
	57.	US 5920719	07-06-1999	Sutton et al.			
	58.	US 5937198	08-10-1999	Nelson et al.			
	59.	US 5960196	09-28-1999	Carrier III et al.			
	60.	US 5960445	09-28-1999	Tamori et al.			
	61.	US 5995965	11-30-1999	Experton			
	62.	US 6003075	12-14-1999	Arendt et al.			
	63.	US 6009274	12-28-1999	Fletcher et al.			
	64.	US 6026237	02-15-2000	Berry et al.			
	65.	US 6028938	02-22-2000	Malkin et al.			
	66.	US 6029002	02-22-2000	Afifi et al.			
	67.	US 6058393	05-02-2000	Meier et al.			
	68.	US 6061503	05-09-2000	Chamberlain			
	69.	US 6061686	05-09-2000	Gauvin, et al.			
	70.	US 6067412	05-23-2000	Blake et al.			
	71.	US 6073107	06-06-2000	Minkiewicz et al.			
	72.	US 6088700	07-11-2000	Larsen et al.			

DATE CONSIDERED

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute	for form 1449A/PTO	Application Number	09/894,476
INIEC	DRMATION DISCLOSURE	Filing Date	June 28, 2001
_	TEMENT BY APPLICANT	First Named Inventor	Andrew COMAS et al.
	(use as many sheets as necessary)	Art Unit	3692
(use as many sneets as necessary)		Examiner Name	Clement B. GRAHAM
Sheet	4 of 9	Attorney Docket Number	72167.000564

		Ų	J.S. PATENT DO	CUMENTS	
*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	73.	US 6101601	08-08-2000	Matthews et al.	
-	74.	US 6108673	08-22-2000	Brandt et al.	
	75.	US 6125390	09-26-2000	Touboul	
	76.	US 6128708	10-03-2000	Fitzpatrick et al.	
	77.	US 6138112	10-24-2000	Slutz	
	78.	US 6145121	11-07-2000	Levy et al.	
	79.	US 6167534	12-26-2000	Straathof et al.	
	80.	US 6175833	01-16-2001	West et al.	
	81.	US 6195676	02-27-2001	Spix et al.	
	82.	US 6230319	05-08-2001	Britt Jr. et al.	
	83.	US 6237035	05-22-2001	Himmel et al.	
	84.	US 6237143	05-22-2001	Fontana et al.	
	85.	US 6243862	06-05-2001	Lebow	
	86.	US 6247029	06-12-2001	Kelley et al.	
	87.	US 6249877	06-19-2001	Kawakami et al.	
	88.	US 6269479	07-31-2001	Puram	
	89.	US 6279039	08-21-2001	Bhat et al.	
	90.	US 6301701	10-09-2001	Walker et al.	
	91.	US 6311327	10-30-2001	O'Brien et al.	
	92.	US 6363499	03-26-2002	Delo et al.	
	93.	US 6363524	03-26-2002	Loy	
	94.	US 6405250	06-11-2002	Lin et al.	
	95.	US 6405364	06-11-2002	Bowman-Amuah	
	96.	US 6411910	06-25-2002	Eulau et al.	
		<u> </u>	<u> </u>		

DATE CONSIDERED

Substitute	for form 1449A/PTO	Application Number	09/894,476
INEC	RMATION DISCLOSURE	Filing Date	June 28, 2001
	TEMENT BY APPLICANT	First Named Inventor	Andrew COMAS et al.
	(use as many sheets as necessary)	Art Unit	3692
(use as many sneets as necessary)		Examiner Name	Clement B. GRAHAM
Sheet	5 of 9	Attorney Docket Number	72167.000564

		U	J.S. PATENT DO	CUMENTS	
*Examiner	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	97.	US 6424981	07-23-2002	Isaac et al.	
	98.	US 6438749	08-20-2002	Chamberlain	
	99.	US 6446126	09-03-2002	Huang et al.	
	100.	US 6463454	10-08-2002	Lumelsky et al.	
	101.	US 6466980	10-15-2002	Lumelsky et al.	
	102.	US 6467052	10-15-2002	Kaler et al.	
	103.	US 6470464	10-22-2002	Bertram et al.	
	104.	US 6477471	11-05-2002	Hedstrom et al.	
	105.	US 6502207	12-31-2002	Itoh et al.	
	106.	US 6505176	01-07-2003	DeFrancesco Jr. et al.	
	107.	US 6513154	01-28-2003	Porterfield	
	108.	US 6519763	02-11-2003	Kaufer et al.	
	109.	US 6526443	02-25-2003	Goldsmith et al.	
	110.	US 6546506	04-08-2003	Lewis	
	111.	US 6560580	05-06-2003	Fraser et al.	
	112.	US 6578004	06-10-2003	Cimral et al.	
	113.	US 6578006	06-10-2003	Saito et al.	
	114.	US 6584447	06-24-2003	Fox et al.	
	115.	US 6587841	07-01-2003	DeFrancesco et al.	
	116.	US 6601017	07-29-2003	Kennedy et al.	
	117.	US 6601018	07-29-2003	Logan	
	118.	US 6601233	07-29-2003	Underwood	
	119.	US 6626953	09-30-2003	Johndrew et al.	
	120.	US 6629266	09-30-2003	Harper et al.	
EVANU	NED OI	SNATURE		DATE CONSIDERED	<u> </u>

DATE CONSIDERED

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute	for form 1449A/PTO	Application Number	09/894,476
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Filing Date	June 28, 2001
		First Named Inventor	Andrew COMAS et al.
	(use as many sheets as necessary)	Art Unit	3692
(use as many sneets as necessary)		Examiner Name	Clement B. GRAHAM
Sheet	6 of 9	Attorney Docket Number	72167.000564

	U.S. PATENT DOCUMENTS						
*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear		
	121.	US 6820088	11-16-2004	Hind, et al.			
	122.	US 6920467	07-19-2005	Yoshimoto			
	123.	US 6934934	08-23-2005	Osborne, II et al.			

DATE CONSIDERED

Substitute for form 1449A/PTO INFORMATION DISCLOSURE		Application Number	09/894,476
		Filing Date	June 28, 2001
	TEMENT BY APPLICANT	First Named Inventor	Andrew COMAS et al.
	(use as many sheets as necessary)	Art Unit	3692
(use as many sneets as necessary)		Examiner Name	Clement B. GRAHAM
Sheet 7 of 9		Attorney Docket Number	72167.000564

	FOREIGN PATENT DOCUMENTS							
		FOREIGN PATENT DOCUMENT						
			1	Name of Patentee or	Pages, Columns, Lines, Where	TRANSLATION		
*Examiner	Cite No.	Country Code Number- Kind Code (if known)	Publication Date MM-DD-YYYY	Applicant of Cited Document	Relevant Passages or Relevant Figures Appear	YES/NO		
	124.	WO 01/74043	10/4/2001	Martin				

DATE CONSIDERED

Substitute for form 1449A/PTO		Application Number	09/894,476
INIE	DRMATION DISCLOSURE	Filing Date	June 28, 2001
	TEMENT BY APPLICANT	First Named Inventor	Andrew COMAS et al.
	(use as many sheets as necessary)	Art Unit	3692
(use as many sneets as necessary)		Examiner Name	Clement B. GRAHAM
Sheet 8 of 9		Attorney Docket Number	72167.000564

	OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS					
*Examiner	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published				
	125.	DUGGAN, 2.40 General - Reviews and Abstracts, SPI Database of Software Technologies, pg. 1-5, 02/01/1974				
	126.	AGOSTINI ET AL., A Light Workflow Management System Using Simple Process Models, Cooperation Technologies Laboratory, Disco-University of Milano-Bicoca, 08/2000				
	127.	YU, ET AL., An Analysis of Several Software Defect Models; IEEE Transactions On Software Engineering, Vol. 14., No. 9; September 1988				
	128.	GEORGAKOPOULOS ET AL., An Overview of Workflow Management: from Process Modeling to Workflow Automation Infrastructure, Kluwer Academic Publishers, Boston, Distributed Parallel Databases, Vol. 3, pg. 119-153, 1995				
	129.	SAMMET, Beginning of 4.6 Software Evaluation, Tests and Measurements and RMF I/O Time Validation, Association of Computing Machinery, pg. 519				
	130.	Betwixt: Turning Beans into XML, Apache Software Foundation, archived 6/20/2002 at http://web.archive.org/web/20020620000410/http://jakarta.apahce.org.commons/betwixt/ , Page 1 of 1, 11/13/2005				
	131.	MUEHLEN, Business Process Automation and Workflow in the Financial Industry, CSK Software AG, Version 3, pg. 1-37, September 10, 2003				
	132.	Castor: Using Castor XML, ExoLab Group, archived 08/27/2001 at http://www.castor.org/xml-framework.html , retrieved from the internet on 11/11/2005				
	133.	Code Generation for Database Applications, IBM Corporation, pg. 1-3, 3/1/02				
	134.	MOHAPATRA ET AL., Defect Prevention through Defect Prediction: A Case Study at Infosys				
	135.	MCCONNELL, Gauging Software Readiness with Defect Tracking; IEEE; May/June 1997				
	136.	HILBERT, Hilbert, et al., An Approach To Large Scale Collection Of Application Usage Data Over the Internet, Software Engineering 1998, Proceedings of the 1998 International Conference, Abstract, 04/1998				

			α	 100
- × /	3 пліі	$\mathbf{v} = \mathbf{r}$	SIGN	

DATE CONSIDERED

Substitute for form 1449A/PTO INFORMATION DISCLOSURE		Application Number	09/894,476	
		Filing Date	June 28, 2001	
· ·		First Named Inventor	Andrew COMAS et al.	
STATEMENT BY APPLICANT (use as many sheets as necessary) Sheet 9 of 9		Art Unit	3692	
		Examiner Name	Clement B. GRAHAM	
		Attorney Docket Number	72167.000564	

		OTHER DOCUMENTS - NON-PATENT LITERATURE DOCUMENTS			
*Examiner	Cite No.	Item (Dook, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue			
	137.	HUDEPONHL ET AL., Integrating Metrics and Models For Software Risk Assessment, The Seventh International Symposium on Software Reliability Engineering (ISSRE '96), pg. 93, 10/30/1996	YES/NO		
	138. HAMILTON, JavaBeans, Sun Microsystems, Chapter 8, August 8, 1997				
	139. REINHART, Liability Management: A new Tool for Financial Consultants, Financial Consultant, Vol. 1, No. 3, pg. 7-11, Fall/Winter 1996, ISSN 1091-644X, Dialog File 15, Accession No. 01395382				
	140. OS/2EE Database Manager SQLJRA Remote Protocol, IBM Corporation, IBM TDB N10-93, pg. 33-36, 1/1/93				
	141.	Programmer's Guide; Monitor Client Library 12.5; Document ID 32865:01-1250-01			
	142.	Quantitative Monitoring Of Software Development by Time-Based and Intercheckpoint Monitoring, Software Engineering Journal, Vol. 5, Iss. 1, pg. 43-49, Abstract, Jan-90			
	143.	CAMPIONE, ET AL., Special Edition Using Java Tutorial, Third Edition: A Short Course on the Basics, Addison Wesley Professional ISBN: 0201-70393-9, 21 pages from Chapter 5, December 28, 2000			
	144.	BASILI ET AL., Understanding and Predicting the Process of Software Maintenance Releases, 18th International Conference on Software Engineering (ICSE '96), March 25-29; p. 464; (Abstract)			
	145.	WOHLIN ET AL., Understanding the Sources of Software Defects: A Filtering Approach, 8th International Workshop on Program Comprehension (IWPC '00), pg. 9, (Abstract), 6/10/2000			
	146.	PITT AND MCNIFF, java, RMI: the Remote Method Inovocation Guide, Addison Wesley Professional, ISBN: 0201-70043-3, Section 3.5, 3 pages			

EXA	MIN	IFR	SI	GN	ΔΤΙ	IRE
$-\sim$	11411	4 L I L	OI	CII V	\sim 1 $^{\circ}$	ノロニ

DATE CONSIDERED